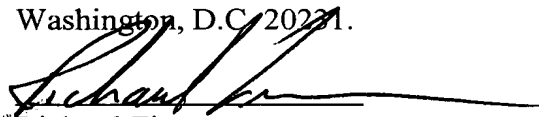


PATENT
19036/37157IN THE UNITED STATES
PATENT AND TRADEMARK OFFICE

In re Application of: Wakamiya, N.)	CERTIFICATE OF MAILING BY
)	EXPRESS MAIL
Serial No.: 09/763,712)	"EXPRESS MAIL" mailing label
)	No. <u>EL827655848US</u>
Filed: Feb. 26, 2001)	
(US National Phase of PCT/JP99/04552,)	Date of Deposit: <u>May 4, 2001</u>
Filed 24 August 1999))	
Title: "Novel Collectin")	I hereby certify that this paper and the
)	documents referred to herein as enclosed
)	herewith are being deposited with the
Group Art Unit: To Be Determined)	United States Postal Service "EXPRESS
)	MAIL POST OFFICE TO
Examiner: To Be Determined)	ADDRESSEE" service under 37 C.F.R.
)	§1.10 on the date indicated above and
Docket No: 19036/37157)	are addressed to the Commissioner for
)	Patents, Box PCT
)	Washington, D.C. 20231.
		
		Richard Zimmermann

**RESPONSE TO NOTIFICATION TO COMPLY WITH REQUIREMENTS FOR
PATENT APPLICATIONS CONTAINING NUCLEOTIDE SEQUENCE AND/OR
AMINO ACID SEQUENCE DISCLOSURES**BOX PCT
Commissioner for Patents
Washington, D.C. 20231

Dear Sir:

In response to the Notification to Comply with Requirements for Patent Applications Containing Nucleotide Sequence and/or Amino Acid Sequence Disclosures dated April 20, 2001, attached hereto as **Exhibit A** is a copy of U.S. Form PTO-1390 indicating at Item 20 that the Computer Readable Copy of Sequence Listing and Statement Regarding Sequence Listing pursuant to 37 C.F.R. 1.825(a) and 1.825(b) were transmitted when the application was filed by Express Mail on February 26, 2001.

Also attached hereto as **Exhibit B** is a copy of the Certification Under 37 C.F.R. 1.10 indicating at items (e) and (g) that the computer readable copy of the sequence listing and the paper copy of the sequence listing filed with and attached to the Statement Regarding Sequence Listing were enclosed therewith.

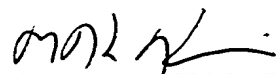
Finally, a copy of the date-stamped postcard received from the Patent Office indicating receipt of all items listed thereon is attached as **Exhibit C**.

However, to expedite the examination process, Applicant herewith re-submits a copy of the sequence listing and another diskette with the computer readable sequence listing. Pursuant to the requirement of Form PCT/DO/EO/920 (copy attached), Applicant directs the Patent Office to enter the substitute sequence listing, originally filed on February 26, 2001, into the specification for this application (See Preliminary Amendment "B"). The paper and computer readable copies of the sequence listing filed herewith are the same as each other and do not introduce new matter.

Respectfully submitted,

MARSHALL, O'TOOLE, GERSTEIN,
MURRAY & BORUN
6300 Sears Tower
233 South Wacker Drive
Chicago, Illinois 60606-6402

Date: May 4, 2001



Mark H. Hopkins
Reg. No. 44,775

PATENT
19036/37157

IN THE UNITED STATES
PATENT AND TRADEMARK OFFICE

In re Application of: Wakamiya, N.)	CERTIFICATE OF MAILING BY
)	EXPRESS MAIL
Serial No.: 09/763,712)	"EXPRESS MAIL" mailing label
)	No. <u>EL827655848US</u>
Filed: Feb. 26, 2001)	
(US National Phase of PCT/JP99/04552,)	Date of Deposit: <u>May 4, 2001</u>
Filed 24 August 1999))	
Title: "Novel Collectin")	I hereby certify that this paper and the
)	documents referred to herein as enclosed
Group Art Unit: To Be Determined)	herewith are being deposited with the
)	United States Postal Service "EXPRESS
Examiner: To Be Determined)	MAIL POST OFFICE TO
)	ADDRESSEE" service under 37 C.F.R.
Docket No: 19036/37157)	§1.10 on the date indicated above and
)	are addressed to the Commissioner for
)	Patents, Box PCT
)	Washington, D.C. 20231.


Richard Zimmermann

**RESPONSE TO NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C.
371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)**

BOX PCT
Commissioner for Patents
Washington, D.C. 20231

Dear Sir:

In response to the Notification of Missing Requirements Under 35 U.S.C. 371, Applicant submits herewith the executed inventor's declaration, a copy of the Notice, and a check in the amount of \$130.00 for the surcharge for submission after 30 months of the priority date as set

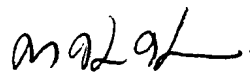
forth in 37 C.F.R. 1.492(e).

If any other fees are due and owed in view of this submission, Applicant authorizes the Patent Office to charge Deposit Account No. 13-2855.

Respectfully submitted,

MARSHALL, O'TOOLE, GERSTEIN,
MURRAY & BORUN
6300 Sears Tower
233 South Wacker Drive
Chicago, Illinois 60606-6402

Date: May 4, 2001



Mark H. Hopkins
Reg. No. 44,775



UNITED STATES PATENT AND TRADEMARK OFFICE

Commissioner for Patents, Box PCT
United States Patent and Trademark Office
Washington, D.C. 20231
www.uspto.gov

U.S. APPLICATION NO. FIRST NAMED APPLICANT ATTY. DOCKET NO.

09/763712

WAKAMIYA

N

19036/37157

INTERNATIONAL APPLICATION NO.

PCT/JP99/04552

HOPKINS, MARK H.
6300 SEARS TOWER
233 SOUTH WACKER DRIVE
CHICAGO, IL 60606

RECEIVED

APR 25 2001

MARSHALL OTOOLE

I.A. FILING DATE

24 AUG 99

PRIORITY DATE

24 AUG 98

Docketed: 4/20/01

DATE MAILED:

20 APR 2001

NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)1. The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as ☐ a Designated Office (37 CFR 1.494) ☒ an Elected Office (37 CFR 1.495):

- ☒ U.S. Basic National Fee. ☐ Indication of Small Entity Status.
☒ Copy of the international application. ☒ Translation of the international application into English.
☐ Oath or Declaration of inventors(s). ☐ Translation of Article 19 amendments into English.
☐ Copy of Article 19 amendments. ☒ Other: Sequence Listing (17 sheets)
☒ Priority Document. Preliminary Amendment
☒ The International Preliminary Examination Report in English and its Annexes, if any.
☐ Translation of Annexes to the International Preliminary Examination Report into English.

2. ☐ Applicant has requested early processing under 35 U.S.C. 371(f) but has not filed the following indicated items and/or the indicated items in paragraph 3 below. The Basic National Fee and the copy of the international application must be filed prior to 20 or 30 months from the priority date to avoid abandonment.

- ☐ U.S. Basic National Fee. ☐ Copy of the international application.

3. The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- ☐ a. Translation of the application into English. A processing fee will be required if submitted later than the appropriate 20 or 30 months from the priority date.
☐ The current translation is defective for the reasons indicated on the attached Notice of Defective Translation.
☐ b. Processing fee for providing the translation of the application and/or the Annexes later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(f)).
☒ c. Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), properly identifying the application (preferably by the International application number and international filing date). A surcharge will be required if submitted later than the appropriate 20 or 30 months from the priority date.
☐ The current oath or declaration does not comply with 37 CFR 1.497(a) and (b) for the reasons indicated on the attached PCT/DO/EO/917.
☒ d. Surcharge for providing the oath or declaration later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(e)).

4. Additional claim fees of \$ _____ as a ☐ large entity ☐ small entity, including any required multiple dependent claim fee, are required. Applicant must submit the additional claim fees or cancel the additional claims for which fees are due (37 CFR 1.492(g)). See attached PTO-875.5. ☒ Applicant has not submitted the required sequence listing pursuant to 37 CFR 1.821-1.825. See attached PCT/DO/EO/920.**ALL OF THE ITEMS SET FORTH IN 3(a)-3(d), 4 AND 5 ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTHS FROM THE DATE OF THIS NOTICE OR BY 22 OR 32 MONTHS (where 37 CFR 1.495 applies) FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.**

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

6. If box 3a or 3c is checked, a translation of the Annexes **MUST** be submitted no later than the time period set above or the Annexes will be cancelled. A processing fee will be required if submitted later than 20 or 30 months from the priority date.7. ☐ The Article 19 amendments are cancelled since a translation was not provided by the appropriate 20 (37 CFR 1.494(d)) or 30 (37 CFR 1.495(d)) months from the priority date.

Applicant is reminded that any communication to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above. (37 CFR 1.5)

A copy of this notice MUST be returned with this response.Enclosed: ☐ PCT/DO/EO/917
☐ PTO-875☐ Notice of Defective Translation
☒ PCT/DO/EO/920

Francine Young

Telephone: 703-305-3662

FORM PCT/DO/EO/905 (March 2001)

FORM PTO-1390 (Modified)
(REV 11-2000)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

**TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371**

1 37157

U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR
09/763,712

INTERNATIONAL APPLICATION NO.
PCT/JP99/04552

INTERNATIONAL FILING DATE
24 August 1999

PRIORITY DATE CLAIMED
24 August 1998

TITLE OF INVENTION
NOVEL COLLECTIN

APPLICANT(S) FOR DO/EO/US
WAKAMIYA, Nobutaka

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☐ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☒ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (24) indicated below.
4. ☐ The US has been elected by the expiration of 19 months from the priority date (Article 31).
5. ☐ A copy of the International Application as filed (35 U.S.C. 371 (c) (2))
 - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ has been communicated by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
 - a. ☐ is attached hereto.
 - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
 - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ have been communicated by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☐ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
10. ☐ An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).
11. ☐ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☐ A copy of the International Search Report (PCT/ISA/210).

Items 13 to 20 below concern document(s) or information included:

13. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☐ A **FIRST** preliminary amendment.
16. ☒ A **SECOND** or **SUBSEQUENT** preliminary amendment.
17. ☐ A substitute specification.
18. ☐ A change of power of attorney and/or address letter.
19. ☒ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.
20. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
21. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
22. ☒ Certificate of Mailing by Express Mail
23. ☒ Other items or information:

**COPY OF NOTIFICATION OF MISSING REQUIREMENTS;
COMPUTER READABLE COPY OF SEQUENCE LISTING (Duplicate)
STATEMENT REGARDING SEQUENCE LISTING PURSUANT TO 37 C.F.R. 1.825 (a) AND 1.825 (b) (copy of
original submission); RETURN RECEIPT POSTCARD**

U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR 1.492(a)(1))	INTERNATIONAL APPLICATION NO.	ATTORNEY'S DOCKET NUMBER
09/763,712	PCT/JP99/04552	19036/37157

24. The following fees are submitted: BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)) :				CALCULATIONS PTO USE ONLY	
<input type="checkbox"/> Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO \$1000.00					
<input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO \$860.00					
<input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO \$710.00					
<input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4) \$690.00					
<input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) \$100.00					
ENTER APPROPRIATE BASIC FEE AMOUNT =				\$0.00	
Surcharge of \$130.00 for furnishing the oath or declaration later than months from the earliest claimed priority date (37 CFR 1.492 (e)). <input type="checkbox"/> 20 <input checked="" type="checkbox"/> 30				\$130.00	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total claims	59 - 20 =	39	x \$18.00	\$702.00	
Independent claims	4 - 3 =	1	x \$80.00	\$80.00	
Multiple Dependent Claims (check if applicable). <input type="checkbox"/>				\$0.00	
TOTAL OF ABOVE CALCULATIONS =				\$912.00	
<input type="checkbox"/> Applicant claims small entity status. (See 37 CFR 1.27). The fees indicated above are reduced by 1/2.				\$0.00	
SUBTOTAL =				\$912.00	
Processing fee of \$130.00 for furnishing the English translation later than months from the earliest claimed priority date (37 CFR 1.492 (f)). <input type="checkbox"/> 20 <input type="checkbox"/> 30 +				\$0.00	
TOTAL NATIONAL FEE =				\$912.00	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) (check if applicable). <input type="checkbox"/>				\$40.00	
TOTAL FEES ENCLOSED =				\$952.00	
				Amount to be: refunded	\$
				charged	\$

- a. ☒ A check in the amount of **\$952.00** to cover the above fees is enclosed.
- b. ☐ Please charge my Deposit Account No. _____ in the amount of _____ to cover the above fees. A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. **13-2855**. A duplicate copy of this sheet is enclosed.
- d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card information should not be included on this form.** Provide credit card information and authorization on PTO-2038.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

HOPKINS, Mark H.
Customer No. 04743
MARSHALL, O'TOOLE, GERSTEIN, MURRAY & BORUN
6300 Sears Tower
233 South Wacker Drive
Chicago, Illinois 60606
United States of America

05/01/2001 HNGUYEN 00000050 09763712

01 F:154 130.00 OP
02 F:966 702.00 OP
03 F:964 80.00 OP


SIGNATURE

Mark H. Hopkins

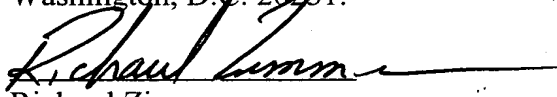
NAME

44,775

REGISTRATION NUMBER

5/4/01
DATE

PATENT
19036/37157IN THE UNITED STATES
PATENT AND TRADEMARK OFFICE

In re Application of: Wakamiya, N.)	CERTIFICATE OF MAILING BY
)	EXPRESS MAIL
Serial No.: 09/763,712)	"EXPRESS MAIL" mailing label
)	No. <u>EL827655848US</u>
Filed: Feb. 26, 2001)	
(US National Phase of PCT/JP99/04552,)	Date of Deposit: <u>May 4, 2001</u>
Filed 24 August 1999))	
Title: "Novel Collectin")	I hereby certify that this paper and the
)	documents referred to herein as enclosed
)	herewith are being deposited with the
Group Art Unit: To Be Determined)	United States Postal Service "EXPRESS
)	MAIL POST OFFICE TO
Examiner: To Be Determined)	ADDRESSEE" service under 37 C.F.R.
)	§1.10 on the date indicated above and
Docket No: 19036/37157)	are addressed to the Commissioner for
)	Patents, Box PCT
)	Washington, D.C. 20231.
)	
)	Richard Zimmermann

CERTIFICATION UNDER 37 CFR 1.10BOX PCT
Commissioner for Patents
Washington, D.C. 20231

I hereby certify the attached items are being deposited with the United States Postal Service on Friday, May 4, 2001 in an Express Mail envelope addressed to BOX PCT, Commissioner for Patents, Washington, D.C. 20231, utilizing the "Express Mail Post Office to Addressee" service of the United States Postal Service under Mailing Label No. EL 827655848 US:

- a) Response to Notification to Comply with Requirements for Patent Applications Containing Nucleotide Sequence and/or Amino Acid Sequence Disclosures with Exhibit A-copy of Form 1390; Exhibit B-copy of previous Certification under 37 CFR 1.10; and Exhibit C-copy of return receipt postcard attached thereto;

- b) Duplicate copy of diskette containing computer readable form of the previously submitted sequence listing;
- c) Response to Notification of Missing Requirements Under 35 U.S.C. 371 with executed Inventor's Declaration and a copy of the Notification attached thereto;
- d) Check for \$130.00 surcharge for submitting declaration after 30 months;
- e) Preliminary Amendment B, including a copy of the previously submitted sequence listing including Statement Regarding Sequence Listing Pursuant to 37 C.F.R. §§1.825(a)(b);
- f) Executed Assignment, PTO Form 1595 and check for \$40.00 recordal fee
- g) Information Disclosure Statement with PTO-Form 1449 and 1 U.S. Patent; 4 foreign patents; and 26 other references.
- h) Return Postcard

Respectfully submitted,

MARSHALL, O'TOOLE, GERSTEIN,
MURRAY & BORUN
6300 Sears Tower
233 South Wacker Drive
Chicago, Illinois 60606-6402

Date: May 4, 2001



Mark H. Hopkins
Reg. No. 44,775

FORM PTO-1390 (Modified)
(REV 11-98)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371

036/37157

U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR

INTERNATIONAL APPLICATION NO.
PCT/JP99/04552INTERNATIONAL FILING DATE
24 August 1999PRIORITY DATE CLAIMED
24 August 1998TITLE OF INVENTION
NOVEL COLLECTINAPPLICANT(S) FOR DO/EO/US
WAKAMIYA, Nobutaka

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☒ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. 371 (c) (2))
 - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☒ has been transmitted by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☒ A copy of the International Search Report (PCT/ISA/210).
8. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
 - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ have been transmitted by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☒ have not been made and will not be made.
9. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
10. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
11. ☒ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).

Items 13 to 20 below concern document(s) or information included:

13. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☒ A **FIRST** preliminary amendment.
16. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
17. ☐ A substitute specification.
18. ☐ A change of power of attorney and/or address letter.
19. ☒ Certificate of Mailing by Express Mail
20. ☒ Other items or information:

Computer Readable Copy of Sequence Listing
Statement Regarding Sequence Listing Pursuant to 37 C.F.R. 1.825 (a) and 1.825(b)
Return Receipt Postcard

U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR

INTERNATIONAL APPLICATION NO.

PCT/JP99/04552

ATTORNEY'S DOCKET NUMBER

19036/37157

21. The following fees are submitted:

BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)) :

- ☐ Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO \$1,000.00
- ☒ International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO \$860.00
- ☐ International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO \$710.00
- ☐ International preliminary examination fee paid to USPTO (37 CFR 1.482) but all claims did not satisfy provisions of PCT Article 33(1)-(4) \$690.00
- ☐ International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(1)-(4) \$100.00

ENTER APPROPRIATE BASIC FEE AMOUNT =**\$860.00**Surcharge of \$130.00 for furnishing the oath or declaration later than ☐ 20 ☐ 30 months from the earliest claimed priority date (37 CFR 1.492 (e)).**\$0.00**

CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE
Total claims	- 20 =	0	x \$18.00
Independent claims	- 3 =	0	x \$80.00

\$0.00**\$0.00**

Multiple Dependent Claims (check if applicable).

\$0.00**TOTAL OF ABOVE CALCULATIONS =****\$860.00**

Reduction of 1/2 for filing by small entity, if applicable. Verified Small Entity Statement must also be filed (Note 37 CFR 1.9, 1.27, 1.28) (check if applicable).

\$0.00**SUBTOTAL =****\$860.00**Processing fee of \$130.00 for furnishing the English translation later than ☐ 20 ☐ 30 months from the earliest claimed priority date (37 CFR 1.492 (f)).**\$0.00****TOTAL NATIONAL FEE =****\$860.00**

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) (check if applicable).

\$0.00**TOTAL FEES ENCLOSED =****\$860.00**Amount to be:
refunded

\$

charged

\$

☒ A check in the amount of **\$860.00** to cover the above fees is enclosed.☐ Please charge my Deposit Account No. _____ in the amount of _____ to cover the above fees.
A duplicate copy of this sheet is enclosed.☒ The Commissioner is hereby authorized to charge any fees which may be required, or credit any overpayment to Deposit Account No. **13-2855** A duplicate copy of this sheet is enclosed.**NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.****SEND ALL CORRESPONDENCE TO:**

HOPKINS, Mark H.
MARSHALL, O'TOOLE, GERSTEIN, MURRAY & BORUN
6300 Sears Tower
233 S. Wacker Drive
Chicago, Illinois 60606
U.S.

SIGNATURE

Mark H. Hopkins

NAME

44,775

REGISTRATION NUMBER

DATE

PATENT APPLICATION

IN THE UNITED STATES PATENT
AND TRADEMARK OFFICE

Applicants:

WAKAMIYA, N.

U.S. National Phase of International
Application No. PCT/JP99/04552 filed under
35 U.S.C. §371

International Filing Date: 24 August 1999


Filed: Herewith

For: Novel Collectin

Group Art Unit: Unknown

Examiner: Unknown

Attorney Docket No. 19036/37157

) "EXPRESS MAIL" mailing label No.
) EL564457185US) Date of Deposit:
) February 26, 2001) I hereby certify that this paper (or fee) is being
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) 20231) 
) Mark H. Hopkins

CERTIFICATION UNDER 37 CFR 1.10

Box PCT

Commissioner for Patents
Washington, D.C. 20231

I hereby certify the attached items are being deposited with the United States Postal Service on February 26, 2001 in an envelope addressed to Box PCT, Commissioner for Patents, Washington, D.C. 20231 utilizing the "Express Mail Post Office to Addressee" service of the United States Postal Service under Mailing No. EL564457185US:

- a. Transmittal letter to the United States Designated/Elected Office (DO/EO/US) concerning a filing under 35 U.S.C. 371 with enclosures;
- b. Translation of the International Application (47 pages specification: 16 pages claims; 1 page abstract; 17 pages sequence listing; 11 pages figures);
- c. Copy of the International Search Report;
- d. Copy of the International Preliminary Examination Report;
- e. Computer-readable Copy of the Sequence Listing;
- f. Preliminary Amendment A;

EXHIBIT B

- g. Statement Regarding Sequence Listing Pursuant to 37 C.F.R. §1.825(a) and §1.825(b);
- h. A check in the amount of \$860; Check No. 63153;



Mark H. Hopkins

Date: February 26, 2001

19036/37157 Feb. 26, 2001

The Patent Office is hereby requested to acknowledge receipt
of the following papers by stamping and returning this card.

With Serial Number and Filing Date
Wakamiya, N., Applicant

09/763712

Transmittal Letter to The United States Designated/Elected
Office Concerning a Filing Under 35 U.S.C. 371

Fee \$ 860.00 Check No. 63153

Translation of Int'l App (47 pgs. specification; 16 pages
claims, 1 page abstract, 17 pages sequence listing, 11
pages figures)

Copy of Intl Search Report

Copy of Intl Preliminary Examination Report

Computer-readable Copy of Sequence Listing, Preliminary
Amendment A; Statement Regarding Sequence Listing

2001 Rec'd PCT/PTO 26 FEB 2001



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U.S. APPLICATION NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
09/763712	WAKAMIYA	N 19036/37157
INTERNATIONAL APPLICATION NO.		
PCT/JP99/04552		
I.A. FILING DATE		PRIORITY DATE
24 AUG 99		24 AUG 98

HOPKINS, MARK H.
6300 SEARS TOWER
233 SOUTH WACKER DRIVE
CHICAGO, IL 60606

DATE MAILED: 20 APR 2001

**NOTIFICATION TO COMPLY WITH REQUIREMENTS FOR PATENT APPLICATIONS
CONTAINING NUCLEOTIDE SEQUENCE AND/OR AMINO ACID SEQUENCE
DISCLOSURES**

Applicant has submitted papers under 35 U.S.C. 371 to enter the national stage in the United States of America. The items indicated below, however, are missing. The period within which to correct the deficiency noted below and avoid abandonment is set forth in the accompanying Notification.

The nucleotide and/or amino acid sequence disclosure contained in this application does not comply with the requirements for such a disclosure as set forth in 37 CFR 1.821-1.825 for the following reason(s):


- ☒ The application fails to comply with the requirements of 37 CFR 1.821-1.825.
- ☒ This application does not contain, a "Sequence Listing" as a separate part of the disclosure on paper copy or compact disc, as required by 37 CFR 1.821(c).
- ☐ A copy of the "Sequence Listing" in computer readable format has not been submitted as required by 37 CFR 1.821(e).
- ☐ A copy of the "Sequence Listing" in computer readable form has been submitted. The content of the computer readable form, however, does not comply with the requirements of 37 CFR 1.822 and/or 1.832, as indicated on the attached marked-up copy of the "Raw Sequence Listing."
- ☐ The computer readable form that has been filed with this application has been found to be damaged and/or unreadable as indicated on the attached CRF Diskette Problem Report. A substitute computer readable form must be submitted as required by 37 CFR 1.825(d).
- ☐ The paper copy or compact disc of the "Sequence Listing" is not the same as the computer readable form of the "Sequence Listing" as required by 37 CFR 1.821(e).
- ☐ Other: _____

APPLICANT MUST PROVIDE:

- ☐ An initial or substitute computer readable form (CRF) of the "Sequence Listing."
- ☒ An initial or substitute paper copy or compact disc of the "Sequence Listing," as well as an amendment directing its entry into the specification.
- ☐ A statement that the contents of the paper or compact disc and the computer readable form are the same and, where applicable, include no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b) or 1.825(d).

**FOR QUESTIONS REGARDING COMPLIANCE WITH THESE REQUIREMENTS, PLEASE
CALL:**

(703) 308-4216, for Rules interpretation,
(703) 308-4212, for CRF submission help,
(703) 287-0200, for PatentIn software help.


Francine Young
Telephone: 703-305-3662